



# TRANSMITTAL FORM

to be used for all correspondence after initial filing)

|  |  |                        |                   |
|--|--|------------------------|-------------------|
|  |  | Application Number     | 10/658,844        |
|  |  | Filing Date            | September 8, 2003 |
|  |  | First Named Inventor   | Morales, John M.  |
|  |  | Art Unit               | unassigned        |
|  |  | Examiner Name          | unassigned        |
| Total Number of Pages in This Submission |  | Attorney Docket Number | 020375-038310US   |

## ENCLOSURES (Check all that apply)

|  |  |   |
|--|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Return Postcard<br>Copies of four (4) cited references |
| Remarks<br>The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.  |  |   |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                    |   |                 |
|--------------------|---|-----------------|
| Firm or Individual | Townsend and Townsend and Crew LLP<br>Irvine, CA Branch | Reg. No. 42,358 |
| Signature          |   |                 |
| Date               | 11-20-03  |                 |

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

|                       |                   |      |            |
|-----------------------|-------------------|------|------------|
| Typed or printed name | Nicole M. Wartell |      |            |
| Signature             |                   | Date | 11-20-2003 |

60087191 v1

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT  
Attorney Docket No.: 020375-038310US

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

On

TOWNSEND and TOWNSEND and CREW, LLP

By

Nicole M. Wartell

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

John M. Morales, et al.

Application No.: 10/658,844

Filed: September 8, 2003

For: SYSTEMS AND METHODS FOR  
PRODUCING SUSPICIOUS ACTIVITY  
REPORTS IN FINANCIAL  
TRANSACTIONS

Examiner: *unassigned*

Art Unit: *unassigned*

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The reference cited on attached form PTO/SB/08A is being called to the attention of the Examiner. The U.S. patent is not enclosed in accordance with the Patent Office waiver issued August 5, 2003 in the Official Gazette, which states as follows:

The Office hereby waives the requirement under 37 CFR §1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC §371 after June 30, 2003. See 37 CFR §1.491(b).

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

Applicants also wish to make the Examiner aware of the following co-pending patent applications:

1. U.S. Patent App. No. 10/225,410, filed 08-20-2002, Applicant Blair et al., Attorney Docket No. 020375-024800US;
2. U.S. Patent App. No. 60/465967, filed 04-25-2003, Applicant Cowell et al., Attorney Docket No. 020375-038300US;
3. U.S. Patent App. No. 10/424,558, filed 04-25-2003, Applicant Michelsen et al., Attorney Docket No. 020375-037200US; and
4. U.S. Patent App. No. 10/424,562, filed 04-25-2003, Applicant Michelsen et al., Attorney Docket No. 020375-039500US.

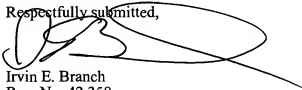
To comply with 37 CFR §1.98(a)(2)(iii), the specifications, drawings and claims for each of these applications are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,



Irvin E. Branch  
Reg. No. 42,358

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
Tel: 303-571-4000  
Fax: 303-571-4321  
IEB:nmb  
60086943 v1

|   |                        |                          |                   |
|---|------------------------|--------------------------|-------------------|
| Substitute for form 1449A/PTO   |                        | <b>Complete if Known</b> |                   |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(use as many sheets as necessary) |                        | Application Number       | 10/658,844        |
|   |                        | Filing Date              | September 8, 2003 |
|   |                        | First Named Inventor     | Morales, John M.  |
|   |                        | Art Unit                 | unassigned        |
|   |                        | Examiner Name            | unassigned        |
| Sheet 1 of 1  | Attorney Docket Number | 020375-038310US          |                   |

| U.S. PATENT DOCUMENTS+ |                       |   |                                |  |   |
|------------------------|-----------------------|---|--------------------------------|--|---|
| Examiner Initials*     | Cite No. <sup>1</sup> | Document Number<br>Number Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                        | A1                    | US-6,015,087  |                                |  |   |
|                        | A2                    | US-   |                                |  |   |

| FOREIGN PATENT DOCUMENTS |                       |                           |                     |                                   |                                |  |  |                          |
|--------------------------|-----------------------|---------------------------|---------------------|-----------------------------------|--------------------------------|--|--|--------------------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   |                     |                                   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | † <sup>6</sup>           |
|                          |                       | Country Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup> (if known) |                                |  |  |                          |
|                          | B1                    |                           |                     |                                   |                                |  |  | <input type="checkbox"/> |
|                          | B2                    |                           |                     |                                   |                                |  |  | <input type="checkbox"/> |

|                    |                  |                 |            |
|--------------------|------------------|-----------------|------------|
| Examiner Signature | /Clement Graham/ | Date Considered | 07/15/2008 |
|--------------------|------------------|-----------------|------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16, if possible. <sup>6</sup> Applicant is to place a checkmark here if English language translation is attached.